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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/029,731	12/21/2001	Jeffrey G. Tarrant	10727-003

20583
PENNIE AND EDMONDS
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 100362711



CONFIRMATION NO. 5039

FORMALITIES LETTER



OC000000007366989

Date Mailed: 01/25/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/21/2002 HWZT11 00000026 161150 10029731
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Express Mail No.: EL 477 035 090 US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Jeffrey G. Tarrant

Application No.: 10/029,731

Group Art Unit: 2171

Filed: December 21, 2001

Examiner: Not yet assigned

For: METHOD AND SYSTEM FOR
SHARING INVESTOR
INFORMATION OVER AN
ELECTRONIC NETWORK

Attorney Docket No.: 10727-003

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

Assistant Commissioner for Patents
BOX MISSING PARTS
Washington, D.C. 20231

Sir:

In response to the Notice To File Missing Parts Of Nonprovisional Application mailed on January 25, 2002, a copy of which is enclosed, applicants submit herewith, pursuant to 37 CFR 1.63 and MPEP § 201.06(c), a Declaration for Non-Provisional Patent Application executed by the inventor.

The fee for the submission of this response is estimated to be \$65.00. Please charge all required fees to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed for accounting purposes.

Respectfully submitted,

Date March 15, 2002

Steven I. Wallach (Reg. No. 47,205)
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Enclosures